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Applicants: Mark Grimse et al.

Serial No.: Not Yet Assigned

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Filed: March 13, 2001

Examiner: Not Yet Assigned

Title: AUTOMATED PROCESS GUIDANCE SYSTEM AND METHOD

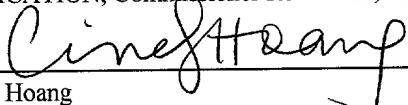
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Cindy Hoang

TRANSMITTAL OF FORMAL DRAWINGS

Commissioner for Patents
Washington, DC 20231

Dear Sir:

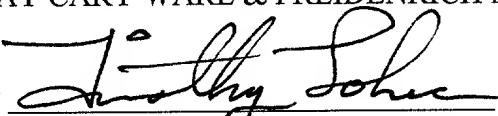
Transmitted herewith are nineteen (19) sheets of formal drawings for the above-identified application.

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Dated March 13, 2001 GRAY CARY WARE & FREIDENRICH LLP

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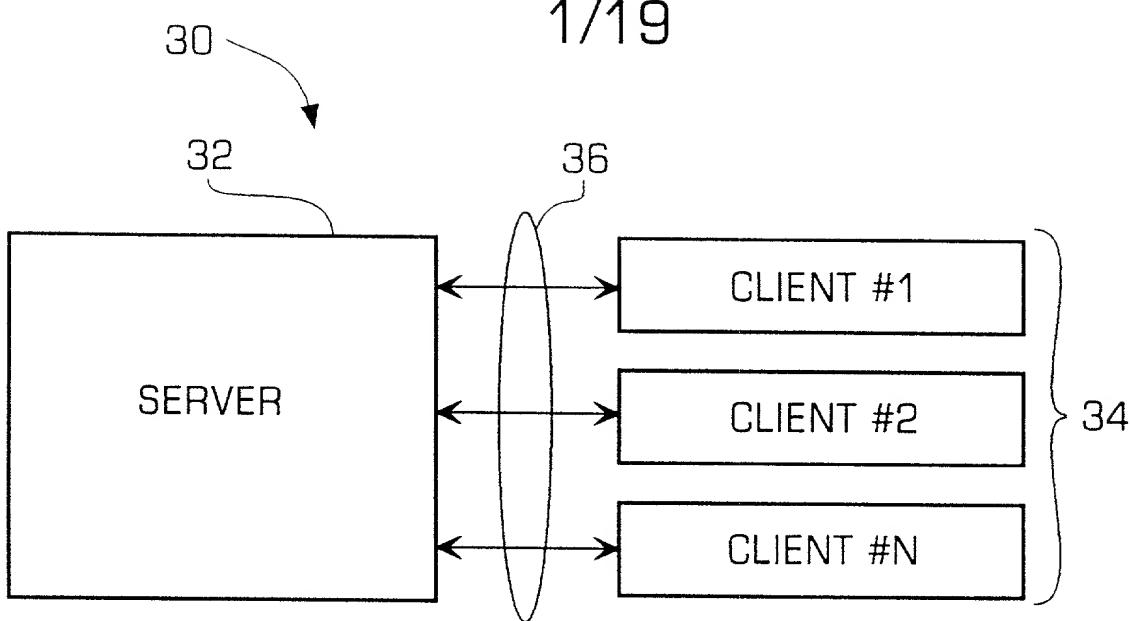
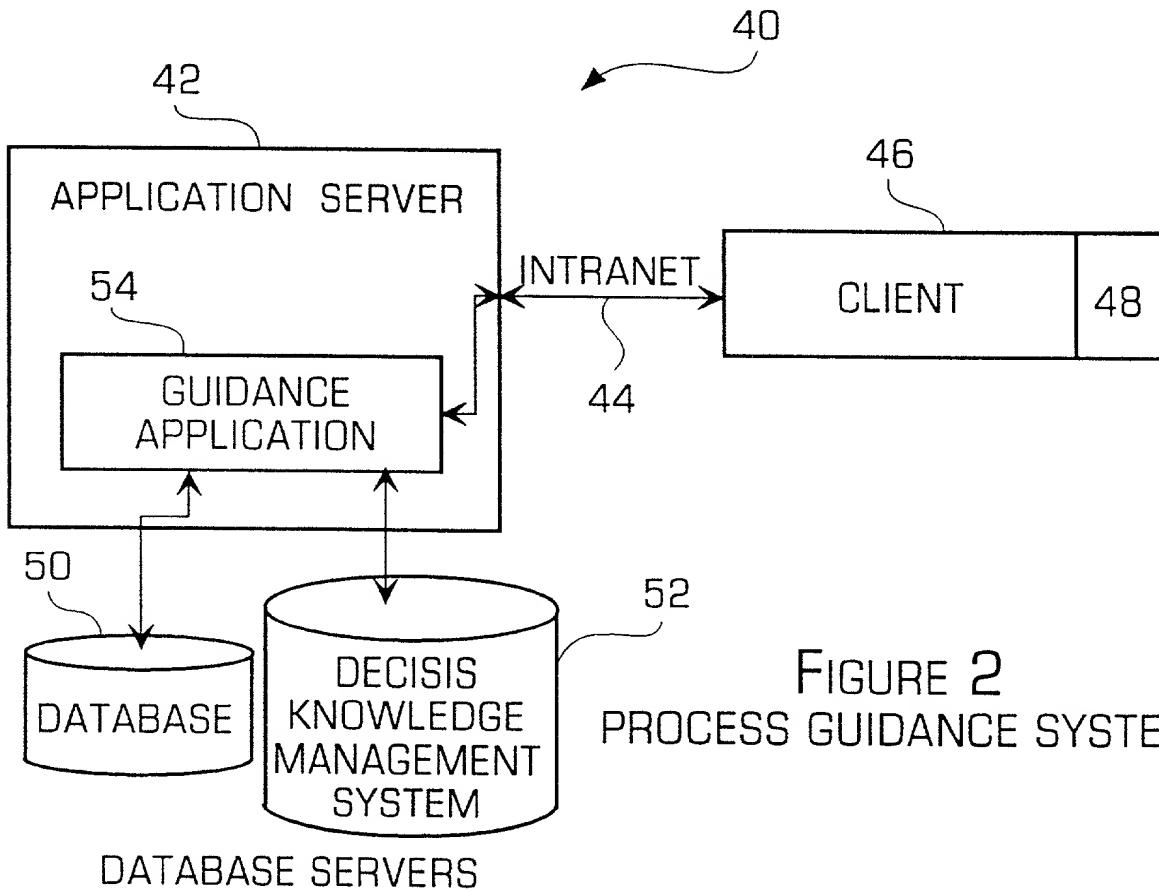


FIGURE 1

FIGURE 2
PROCESS GUIDANCE SYSTEM

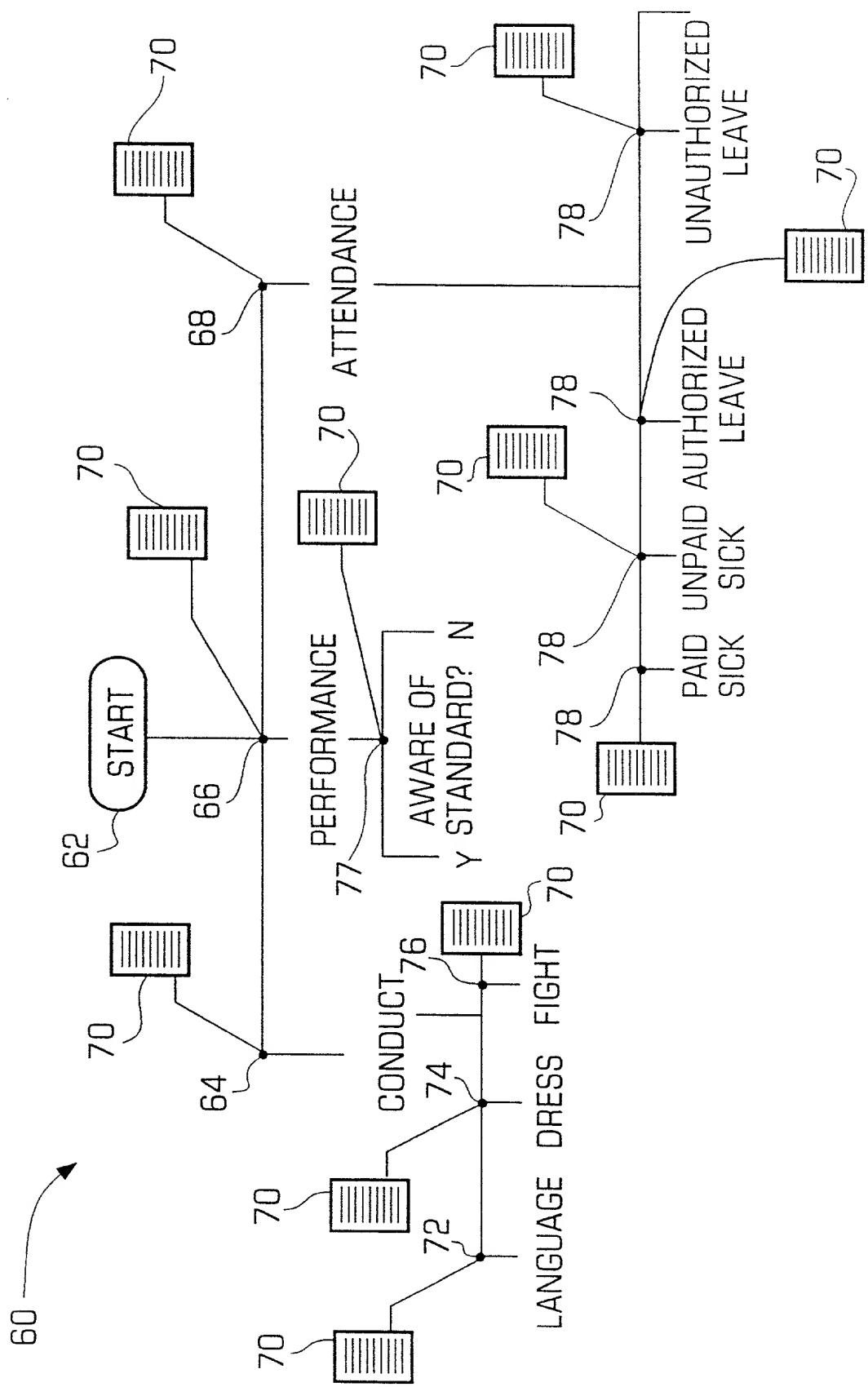


FIGURE 3

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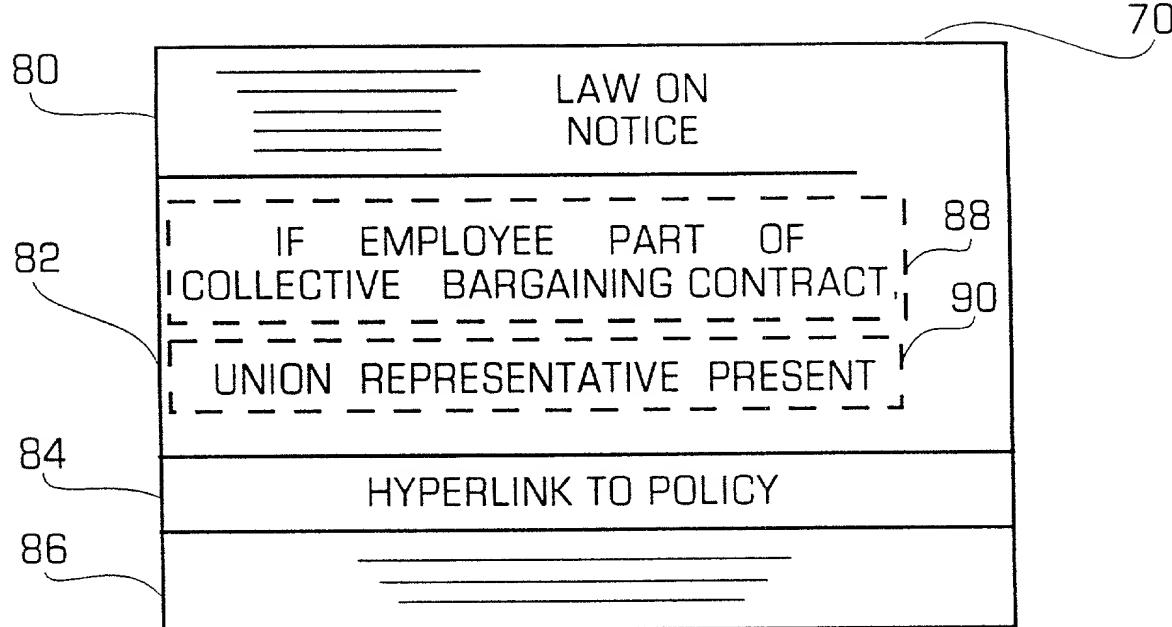


FIGURE 4

FAMILY MEDICAL LEAVE ACT

The table illustrates the Family Medical Leave Act across four legal sources: FED LAW, STATE LAW, COMPANY POLICY, and COLLECTIVE BARGAINING CONTRACT. The columns represent criteria: >1250, WHO SICK, HOW LONG, and two additional columns. The rows are numbered 100, 101, and 102. An arrow points from 100 to the >1250 column. A bracket on the left groups FED LAW and STATE LAW under 100. A bracket on the right groups COMPANY POLICY and COLLECTIVE BARGAINING CONTRACT under 101. The table shows the following data:

	>1250	WHO SICK	HOW LONG		
100 FED LAW				X-NO	
100 STATE LAW					X-ALLOW
101 COMPANY POLICY		X-NO			
101 COLLECTIVE BARGAINING CONTRACT		X			

MOST DISCRIMINATORY → LEAST DISCRIMINATORY

FIGURE 5

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ATTENDANCE MANAGEMENT
SAMPLE SCREEN #1

120

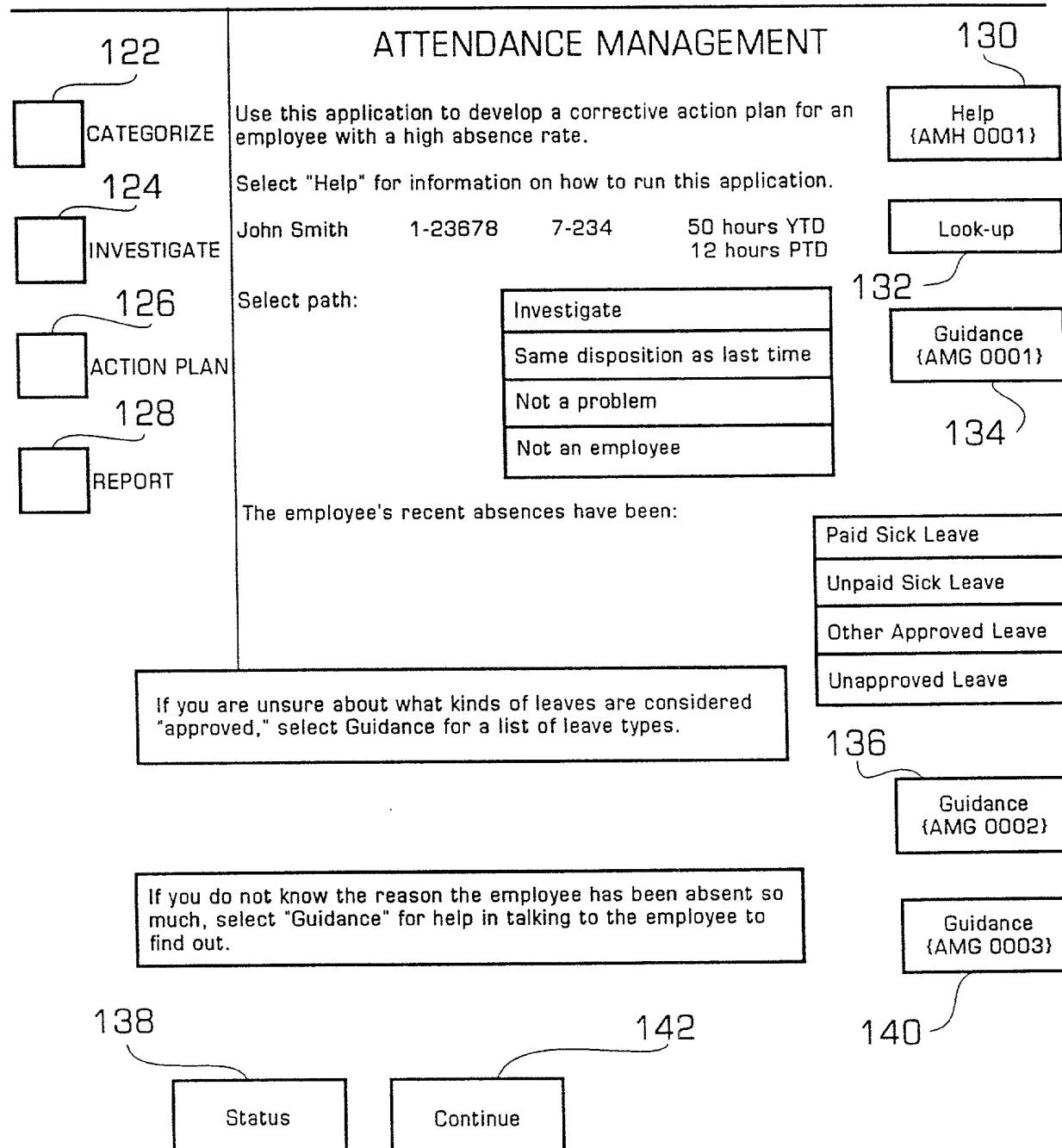


FIGURE 6

150

Attendance Management Page 1
Investigate Paid Sick Leave Absence(s)

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154

151

Has the employee provided adequate notice for the paid sick leave absence(s)?

Guidance: List of notice requirements.
 {AMG 0004}

Not Always

No

Yes

Failure to provide adequate notice is a conduct issue that may be handled with Progressive Discipline - Attendance Conduct..

Guidance: Treat conduct issues separately (no call/no show, etc.)
 {AMG 0005}

158

157

Guidance: List of sick leave certification requirements.
 {AMG 0006}

Has the employee provided proper certification for the absence(s)?

Not Always

No

Yes

Failure to provide proper certification is a conduct issue that may be handled with Progressive Discipline - Attendance Conduct.. See Guidance for more details.

Guidance: {AMG 0007}

Hot Advice: See Guidance for input on how to make this judgement or how to interview the employee on this.
 Guidance: How to forecast absence rate. {AMG 0008}

In your judgement, will the employee continue to have a high absence rate?

161

Yes

180

181

Is the sick leave due to a singular event?

Guidance: Pregnancy leave is one example of this which is not cause for action. Worker's Comp cases should also be treated separately.
 {AMG 0009}

Has this employee been subject to corrective action previously for attendance?
 {AMG 0010}

Yes

{AMG 0011}

Is the employee still absent?

No

188

{AMG 0011}

Is the employee familiar with the Attendance Policy?

Yes

192

Yes

164

No action

To AP

182

190

Discuss Attendance Policy with employee.

Is the employee in a probationary period?

A

{AMG 0015}

Yes

C

186

184

No action

To AP {AMG 0012}

Develop a Return-to-Work Plan with HR.

To AP {AMG 0013}

*****=optional question
 (skip for some companies)

FIGURE 7

Page 2
Attendance Management
Investigate Paid Sick Leave Absence(s), Cont.

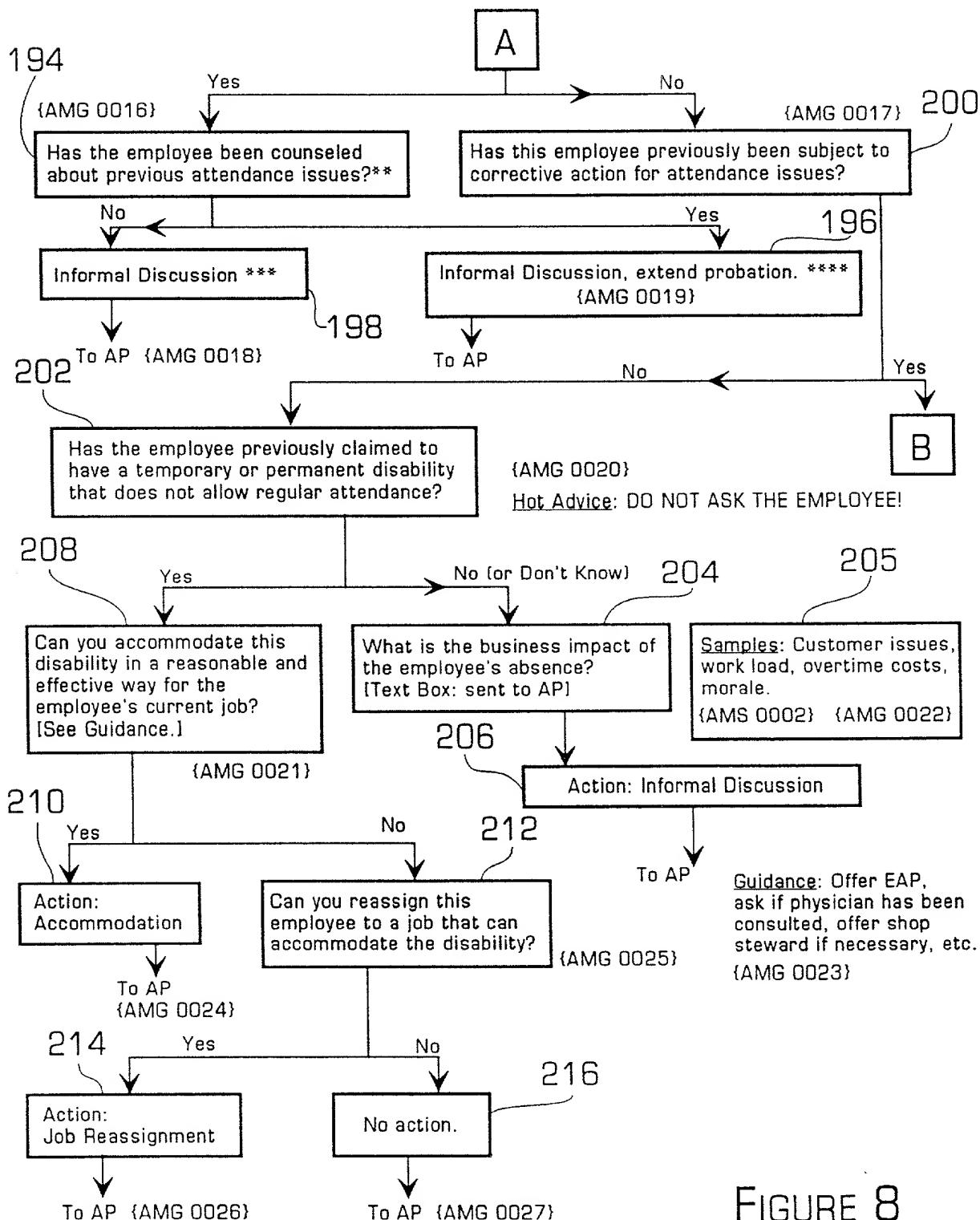


FIGURE 8

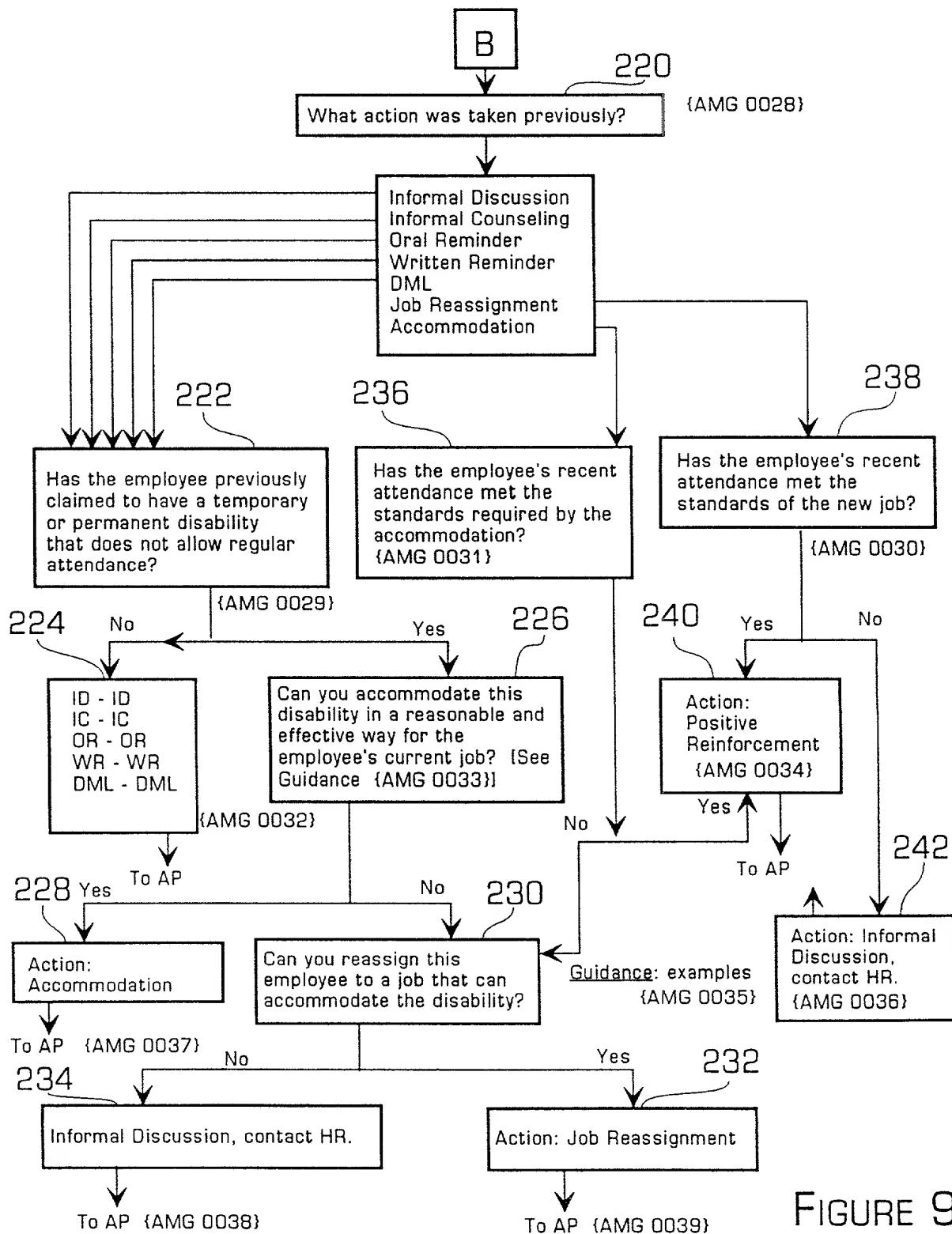
Attendance ManagementInvestigate Paid Sick Leave Absence(s), Cont.

FIGURE 9

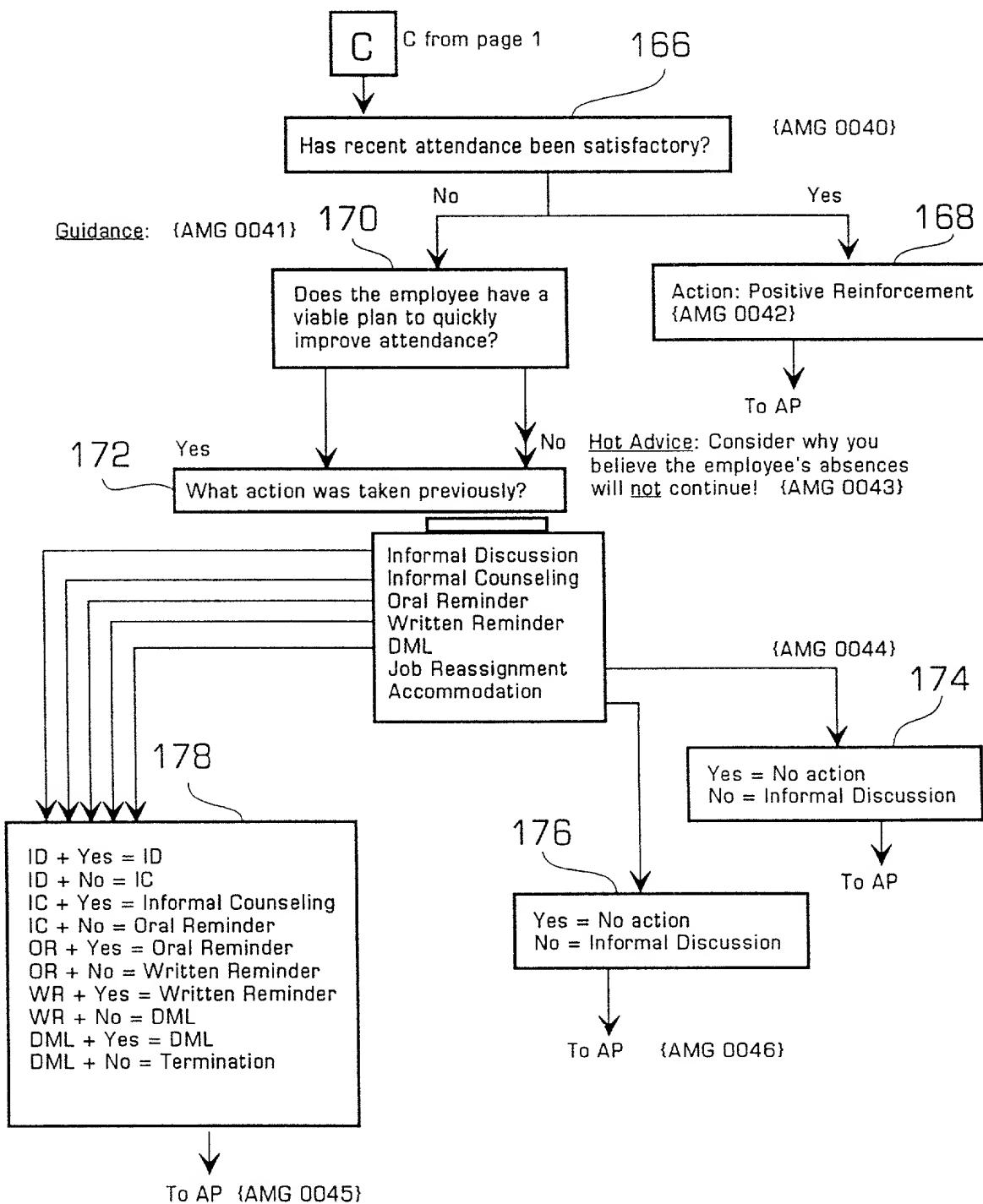
Attendance ManagementInvestigate Paid Sick Leave Absence(s), Cont.

FIGURE 10

550

ATTENDANCE MANAGEMENT

ACTION PLAN

From "AP" arrows in Investigate Task

552

The Disposition at present is: [Show current disposition].
Do you want to override this? (Select "Guidance" to evaluate plan.)

{AMG 0064}

554

Yes

Describe how you want to disposition this case: [Text Box]

{AMG 0065}

No

Select "Continue" to review Disposition Report, and then SAVE it locally on your machine.

{AMG 0066}

556

If you have more flagged employees to handle, start again at the Manager's Desktop.

558

Status

Continue

FIGURE 11

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ATTENDANCE MANAGEMENT
Examples of Disposition Reports
{Separate report for each flagged employee}

Disposition Report
10/14/97

<u>Employee</u>	<u>#</u>	<u>Org</u>	<u>Absence</u>	<u>Disposition</u>
John Doe	2-55456	7-234	240 hrs YTD 160 hrs PTD	Not a problem

602

Disposition Report
10/14/97

Frederick Klutz	1-33900	7-223	45 hrs YTD 40 hrs PTD	Not my employee
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604

Disposition Report
10/14/97

John Smith	1-23678	7-234	50 hrs YTD 12 hrs PTD	Primarily excused absence Proper notice Proper certification Absence will continue Not a singular event Familiar with Attendance Policy Not a probationary employee No prior action No Disability Business impact: "Morale of group is affected, customers dissatisfied." Action Plan: Informal Counseling Override: "I do not plan to take any action."
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FIGURE 12

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650

Welcome - Netscape

File Edit View Go Communicator Help

Bookmarks Location: <http://decisisdemo.com/comp/welcome.html> ▶

What's Related? ▶

Total Compensation Home Page

DECISIS

Welcome Dell Hill

Plan for: Status Review & Approve Plans Submitted to Me

Compensation Planning for 1999 Pending Compensation Planning for 1999

My Direct Reports ▶

Reports

Reference Center

HR Message Board

DECISIS

Compensation Plan Eligibility For Direct Reports

Employee	Salary Increase for 1999	Incentive Plan A for 1999	Employee Stock Options for 1999
Jones, E.	●	●	●
Amato, J.	●	●	●
Cray, O.	●	●	●
Lee, B.		●	
Dubois, G.	●	●	●
Fairfield, H.	●	●	●
Martinez, J.	●	●	●
Prakash, G.	●		

FIGURE 13

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COMPENSATION PLANNING - ENG. SALARY FOR 1999

File Edit Tools Windows Help

1.Rate Employees 2.Plan Employee Salary 3.Plan Employee Bonus 4.Plan Employee Stock 5. Review & Adjust

Enter employee's new performance rating:

Employee	Prev. Perf. Rating	New Perf. Rating
Jones, E.	Excellent	Excellent
Martinez, J.	Excellent	Exceeds
Lee, B.	Excellent	Exceeds
Dubois, G.	Exceeds	Exceeds
Gray, O.	Exceeds	Exceeds
Amato, J.	Exceeds	Exceeds
Prakash, G.	Exceeds	Meets
Johnson, A.	Meets	Meets

662

664

Supporting Data and Analytics

Current Distribution

Excellent: 10%
Exceeds: 50%
Meets: 30%
Below: 10%
Unacceptable: 0%

Recommended Distribution

Excellent: 10%
Exceeds: 25%
Meets: 45%
Below: 17%
Unacceptable: 3%

Perf. Rating Distribution

Employee Detail

Group Comparison

Range Pos by Perf. Rating

Currency: \$ (US) View Budget: Merit ▼ Total: 30,720.00 Allocated: 43,375.00 Remaining: -12,655.00

666

FIGURE 14

COMPENSATION PLANNING - ENG. SALARY FOR 1999

File Edit Tools Windows Help

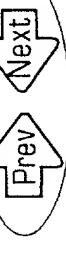
1. Rate Employees 2. Plan Employee Salary 3. Plan Employee Bonus 4. Plan Employee Stock 5. Review & Adjust

Enter employee's salary increases(s) as a dollar amount or percent of base salary. For promotions enter new job code and effective date:
Current Salary: \$50,000.00

Incr. % Incr. \$
Incr Increase: 6% or \$2760.00 \$2,760.00
Adjustment: or \$0
Promotion: or \$0
Total Increase: \$2,760.00 \$2,760.00
New Salary: \$52,760.00 

678

672

Jones, E. 

Exceptions:

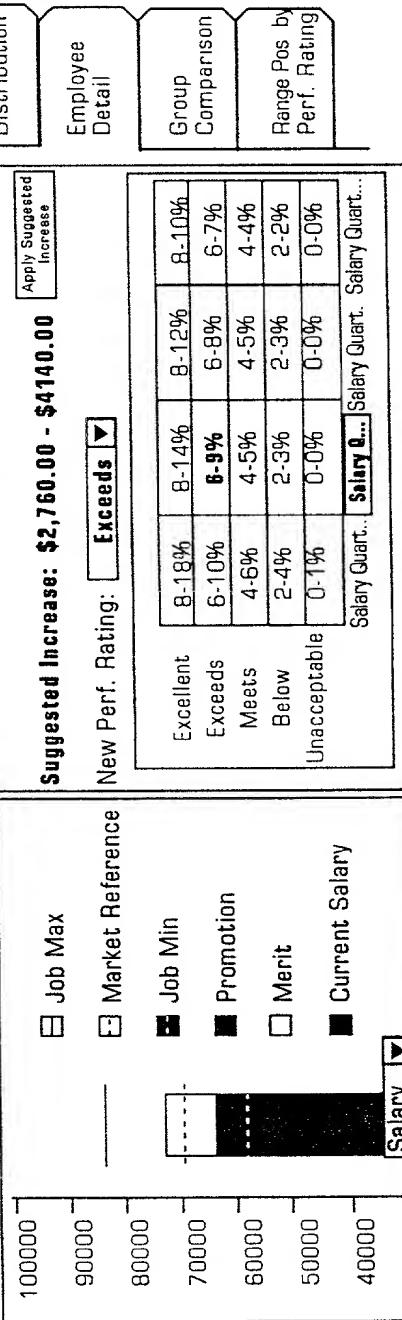
! Below Job Minimum
! Hi Performer Low
salary

Notes: 

679

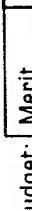
670

Supporting Data and Analytics - Jones, E.



674

FIGURE 15

Currency: \$ (US) View Budget: Merit 

Total: 30,720.00 Allocated: 43,375.00 Remaining: -12,655.00

676

680

672

678

679

674

676

COMPENSATION PLANNING - KEY TALENT BONUS FOR 1999

File Edit Tools Windows Help

1. Rate Employees 2. Plan Employee Salary 3. Plan Employee Bonus 4. Plan Employee Stock 5. Review & Adjust

Enter employee's target bonus payout as a percent of base salary:

Target %	Salary	Target \$
25%	\$50,000.00	12,500.00

Sensitivity Analysis
Payout based on the following assumptions:

	Weight	Assumption	Bonus \$
Individual Performance	30%	Meets	\$3,750.00
Company Performance	70%	100%	\$8,750.00
Total	100%		\$12,500.00

Exceptions:
! Bonus exceeds guidelines

Supporting Data and Analytics - Jones, E.

Suggested Target Bonus

Grade	Suggested Target
9	15-25%
8	10 - 15%
7	10-20%
6	5-15%
5	5-15%

Job Max
Job Min
 Bonus
 Current Salary

Bonus

Currency: \$ (US) View Budget Bonus **Total: 30,720.00** **Allocated: 43,375.00** **Remaining: -12,655.00**

Employee Detail

Group Comparison

FIGURE 16

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674

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COMPENSATION PLANNING - EMPLOYEE STOCK FOR 1999

File Edit Tools Windows Help

1. Rate Employees 2. Plan Employee Salary 3. Plan Employee Bonus 4. Plan Employee Stock 5. Review & Adjust

Jones, E. ▶

Enter employee's stock grant:

Number of Shares	Recent Price	Grant Value
<input type="text" value="850"/>	\$12	\$10,200.00

Exceptions: ! Grant exceeds guidelines

Notes:

Supporting Data and Analytics - Jones, E.

Suggested Stock Grant

Grade	Suggested Number of Shares
9	800-900
8	700-800
7	600-700
6	500-600
5	400-500

Stock Stock Grant Current Salary

Units: Shares **View Budget:** **Remaining: -500**

FIGURE 17

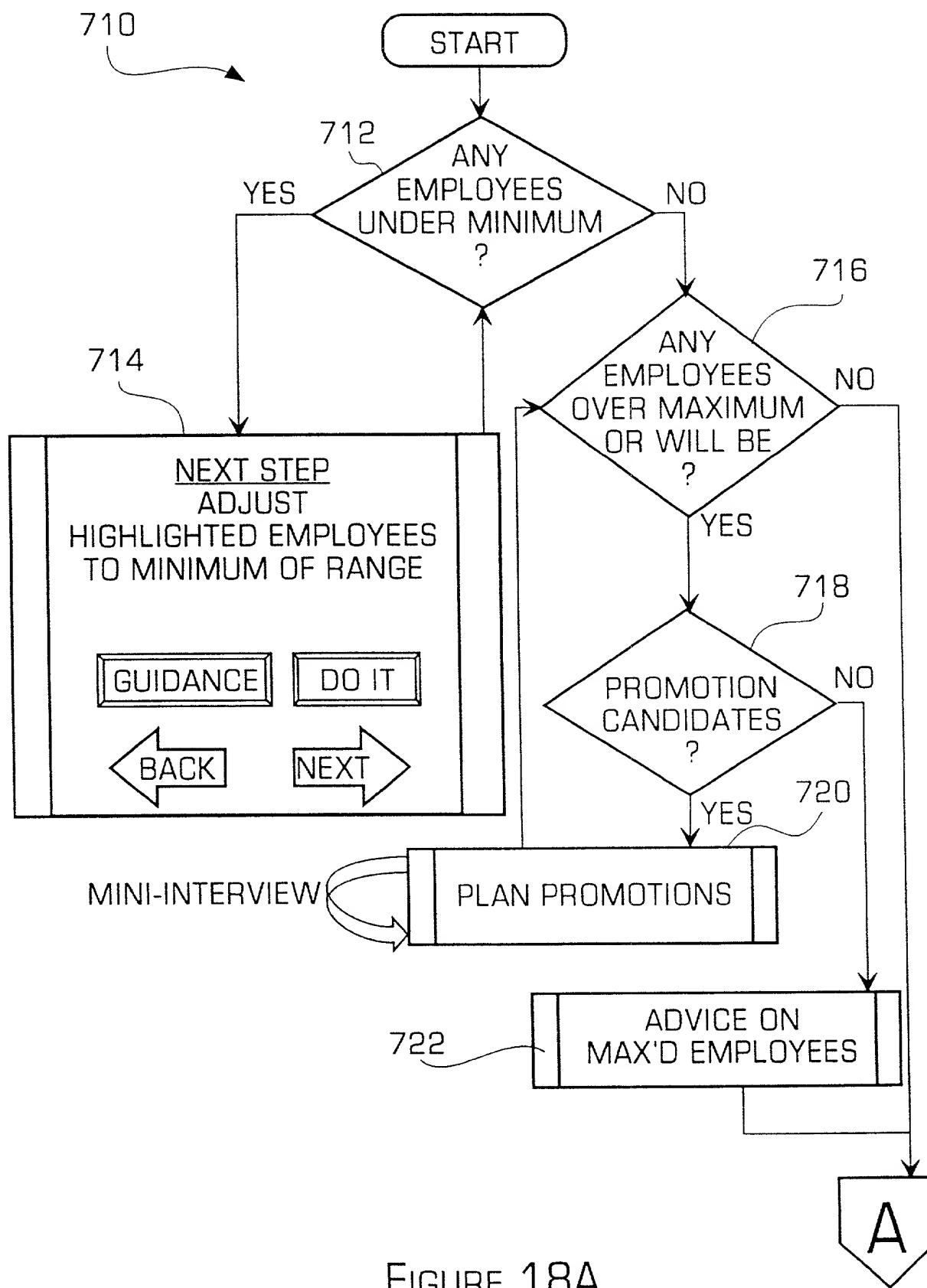


FIGURE 18A

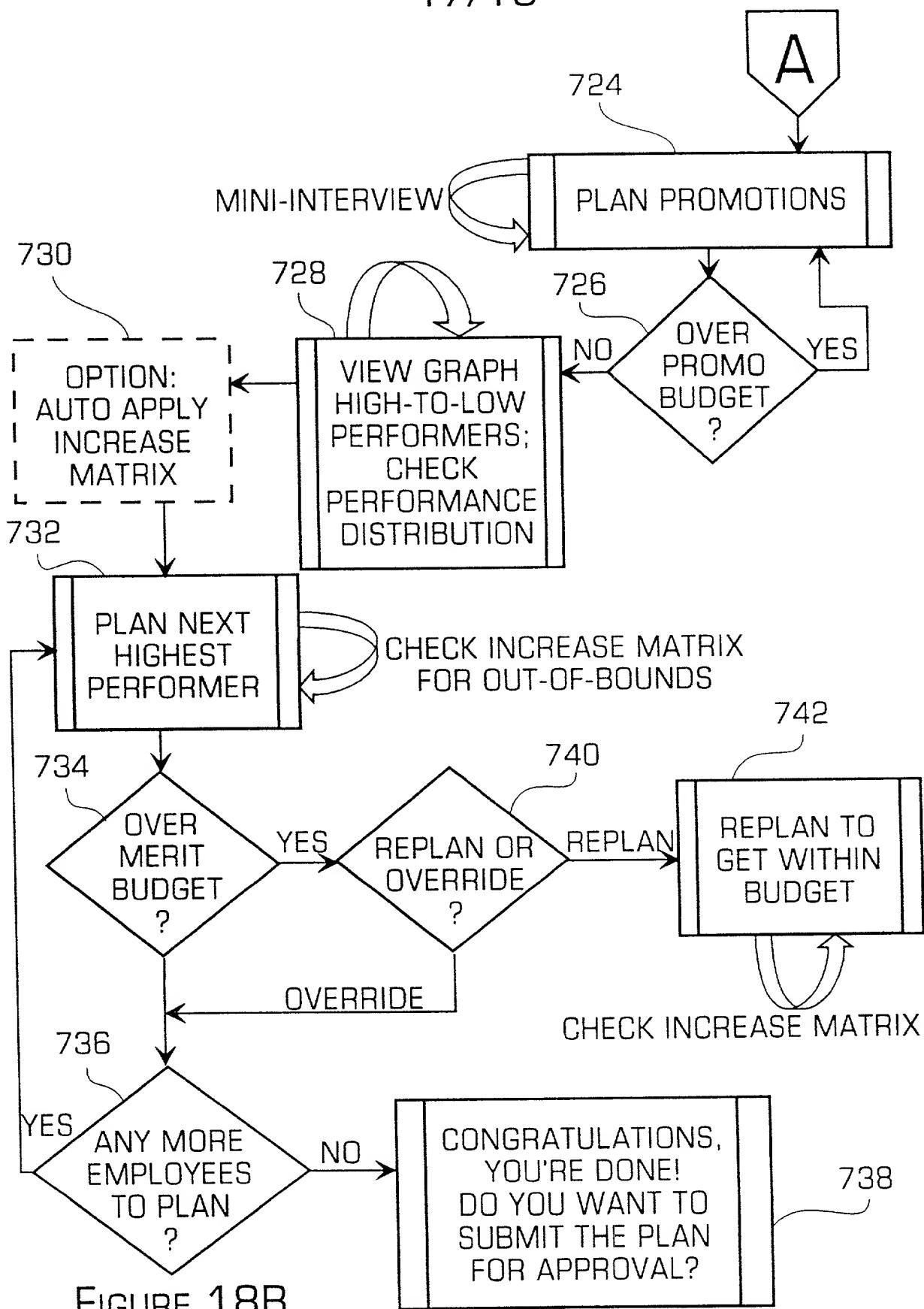


FIGURE 18B

GUIDANCE FOR STACK RANKING OPTION

"Stack ranking" is defined as a 1 - n ranking of employees based on their performance against their job description. It is not meant to be a ranking of their value to the company (that kind of ranking is sometimes called a "reverse layoff" list). Thus a junior engineer could be ranked higher than a senior engineer simply by virtue of doing his/her job better. Junior level employees who are ranked very high in their grade are often candidates for promotion to the next level in that job family (i.e., it is time to make their job more difficult). This usually results in them having a lower stack ranking and a lower performance rating in the next planning session.

If you have employees in different salary ranges or grades, then you can first do the ranking within each grade. Then in order to merge the ranking into one overall list for your group, use the technique illustrated by this example:

E10 Employees:

1. Karen Feiding
2. Fred Klutz
3. Joe Smith
4. Irving Fazola
5. Jane Doe

E09 Employees:

1. Sam Spade
2. George Gap
3. Susie Emblem
4. Roberto Cruz

E08 Employees:

1. Fannie Farmer
2. Jim Keiper
3. Allan Jones
4. Anna Storm
5. Evan White
6. Bill Baker
7. Lavon Larue

To start the merge process on these lists, you choose which employee is the number one overall employee in how well they do their job. Obviously, the only candidates for this honor are the three employees who rank at the top of their respective grade ranking. In this case, the candidates for #1 overall are Karen Feiding, Sam Spade, and Fannie Farmer. So let's say you pick Fannie Farmer as the best at their job of those three. That puts Fannie on top of the overall stack ranking list. Then you pick the employee who ranks second overall. The candidates are Karen, Sam, and Jim Keiper because Fannie is already placed. Continue in this manner until you have a total merged list from 1 - n.

FIGURE 19

8

Welcome - Netscape

File Edit Tools Windows Help

Back Forward Reload Home Search Netscape Print Security Stop

Bookmarks Location: <http://cronus/service/JITServlet?APN=CPAA/0001&av28:1=1&av30:1=1&av32:1=1&display.name=Evelyn-Jones>

Instant Message

Active Advice

FOR TOTAL COMPENSATION

802

Alerts for Evelyn Jones:

- Merit Increase Over Increase Matrix Guidelines
- Above Market Range
- Above Range Position

Alerts for Evelyn Jones:

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Merit Increase Over Increase Matrix Guidelines

The planned Merit Increase for this Employee is over the Increase Matrix guidelines. Please review the suggested percent increase range in the appropriate cell of the Increase Matrix.

There may be good reasons to go over the Increase Matrix guideline. For example:

- The Employee may be overdue for an increase (prorating);
- You may be correcting an internal or external inequity;
- The Employee may be at the high end of the performance category and you are compensating for the difference elsewhere in your plan (e.g. with another Employee's lower increase);
- You may be moving a top performer aggressively to a more

806

Return to Application



DECISION



FIGURE 20